

H-A 06-20-01 #3 SEIGN \$

**Snell & Wilmer**

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Thomas J. Finn (602) 382-6208  
Patents, Trademarks & Copyrights  
tfinn@swlaw.com

June 19, 2001

**VIA EXPRESS MAIL**  
**NO. EL608992232US**

Assistant Commissioner for Patents  
Box Missing Parts  
Washington, DC 20231

Re: **Response to Notice to File Missing Parts and Assignment**  
**U.S. Patent Application, Lydia Breck, et al.**  
Title: **SYSTEM FOR FACILITATING A**  
**TRANSACTION**  
Serial No.: **09/800,461**  
Confirmation No.: **3738**  
Our File No.: **40655.0700**

Dear Sir:

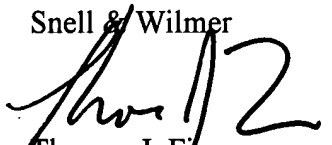
Enclosed are the following documents responsive to the Notice to File Missing Parts, dated April 30, 2001. Additionally, also enclosed for recordation is an Assignment.

1. Notice to File Missing Parts, dated April 30, 2001;
2. Response to Notice to File Missing Parts of NonProvisional Application;
3. Fee Transmittal for FY 2001;
4. Check no. 283986 for \$170.00 for assignment recordation and declaration surcharge;
5. Return Receipt Postcard (postage prepaid);
6. Recordation Form Cover Sheet and Assignments (Utility Patent); and
7. Declaration and Power of Attorney for Patent Application.

Please process the enclosed documents pertaining to the referenced application serial no. 09/800,461. Thank you.

Sincerely,

Snell & Wilmer

  
Thomas J. Finn  
Reg. No. 48,066

TJF:bf  
Enclosures

cc: Ms. Patrice Jacobson (AMEX; w/encls.)



Express Mail Label No. EL608992232US

#3

IN THE UNITED STATES PATENT  
AND TRADEMARK OFFICE

PATENT

Inventor(s): **Lydia Breck, et al.** Docket No.: **40655.0700**  
Serial No.: **09/800,461**; Confirmation No. **3738** Group Art No.: **2161**  
Filing Date: **March 7, 2001** Examiner: **TBA**  
Title: **SYSTEM FOR FACILITATING A TRANSACTION**

**RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF NONPROVISIONAL APPLICATION  
FILING DATE GRANTED**

Assistant Commissioner for Patents  
Box Missing Parts  
Washington, D.C. 20231

Dear Sir:

This responds to the Notice to File Missing Parts of NonProvisional Application -  
Filing Date Granted mailed on April 30, 2001.

Enclosed herewith for filing are the following:

- A copy of the Notice to File Missing Parts of NonProvisional Application - Filing Date Granted. **(REQUIRED)**; and
  - Recordation Form Cover Sheet and Assignment (Utility Patent) \$40.00
  - Declaration and Power of Attorney for Patent Application
  - Surcharge for late filed Declaration and POA \$130.00
- |                                      |          |
|--------------------------------------|----------|
| Total completion of application fees | \$170.00 |
| Total fees due                       | \$170.00 |

The fee of \$130.00 is to be paid as follows:

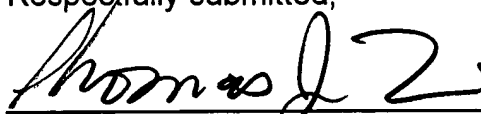
- X A check in the amount of the fee is enclosed.
- X The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. **19-2814**.  
A duplicate copy of this sheet is enclosed.

X If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. 19-2814.

A duplicate copy of this sheet is enclosed.

Respectfully submitted,

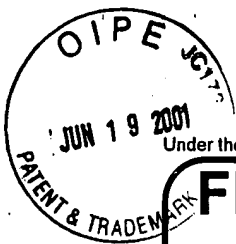
Dated: June 19, 2001



Thomas J. Finn, Esq.  
Reg. No. 48,066

**SNELL & WILMER L.L.P.**  
One Arizona Center  
400 E. Van Buren  
Phoenix, AZ 85004-2202  
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Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/17 (11-00)  
Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

## Complete if Known

Application Number	09/800,461; Confirmation No. 3738
Filing Date	March 7, 2001
First Named Inventor	Lydia Breck
Examiner Name	TBA
Group Art Unit	2161
Attorney Docket No.	40655.0700

TOTAL AMOUNT OF PAYMENT

\$170.00

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 19-2814  
Deposit Account Name: Snell & Wilmer

☒ Charge Any Additional Fee Required.  
Under 37 CFR §§ 1.16 and 1.17

☐ Applicant claims small entity status.  
See 37 CFR § 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1)

### 2. EXTRA CLAIM FEES

Extra Claims		Fee from below	Fee Paid
Total Claims	-20** = 0	X 18.00	= 0.00
Independent Claims	-3** = 0	X 80.00	= 0.00
Multiple Dependent			

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
103 18	203 9	Claims in excess of 20	
102 80	202 40	Independent claims in excess of 3	
104 270	204 135	Multiple dependent claim, if not paid	
109 80	209 40	** Reissue independent claims over original patent	
110 18	210 9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2)

\$0.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	130.00
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non - English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR § 1.17(q)	
126 180	126 180	Submission of Information Disclosure Statement	
581 40	581 40	Recording each patent assignment per property (times number of properties)	40.00
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

\$170.00

## SUBMITTED BY

Name (Print/Type): Thomas J. Finn, Esq.

Signature

Registration No. (Attorney/Agent): 48,066

Telephone: 602/382/6208

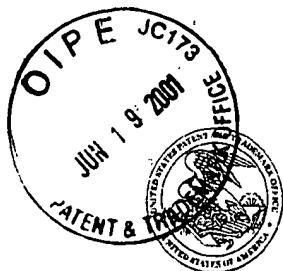
## Complete (if applicable)

Date: June 19, 2001

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

#3



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/800,461	03/07/2001	Lydia Breck	40655.0700

CONFIRMATION NO. 3738

## FORMALITIES LETTER



\*OC000000006021618\*

Thomas J. Finn  
Snell & Wilmer L.L.P.  
One Arizona Center  
400 East Van Buren  
Phoenix, AZ 85004-2202

Date Mailed: 04/30/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

06/22/2001 BSAYASI1 00000018 09800461 PART 2 - COPY TO BE RETURNED WITH RESPONSE

01 FC:105

130.00 OP